

Alaska WIC Vendor Monitoring Instructions & Report Form

Instructions for Local WIC Agency – *(please review before going to the store)*

Before visiting the store, review the vendor file or contact Vendor Staff at the State Office (907-465-3100) to see if there are problem areas or training needs; for instance, problems with warrant redemption, stocking requirements, authorized foods or other issues that may have resulted in warnings or sanctions. Information on vendor warnings or sanctions may also be viewed on the AK WIC report # 602.

Review the Vendor Training Outline. Vendors must receive interactive training at least once every three years after initial authorization. Interactive training may be conducted during a routine monitoring visit, scheduled at another time or coordinated with the State WIC agency. Documentation must be provided of the topics covered and the names of attendees. During a routine monitoring visit, vendor staff may request training on particular issues such as authorized foods or warrant transactions. You may need to bring warrants for use in conducting educational buys for training purposes.

In rural areas, be prepared to provide store manager with information regarding current participation levels and estimated stock of WIC foods required to meet their needs.

The following procedure is recommended for the store visit:

- 1) When you get to the store, introduce yourself to the manager and explain that you are there to monitor the store. Advise manager or person-in-charge (PIC) that you would like to meet with him/her after you review the stock of WIC foods and talk with cashiers.
- 2) Ask for 1 or 2 redeemed WIC warrants that have not been deposited yet; keep the warrants while you review the stock so you can verify shelf prices at the same time.
- 3) Before you walk the aisles to check stock, ask one or two cashiers to complete a quiz while you are checking stock of WIC foods. This will give the cashier(s) more time to complete the quiz without disrupting customer service.
- 4) Complete the Stock Checklist in Part I, Section B on page 3. Indicate quantity on shelf and use a check mark (✓) to indicate if there are expired, damaged or spoiled items. Check shelf prices for items listed on warrant(s) to determine if total price on warrant(s) is accurate; note results in Part I, Section C.
- 5) Return to the cashier(s) and complete Part I, Section A on page 2. Review the quizzes and ask cashiers if they have any questions or need further training.
- 6) Meet with the manager or PIC and complete the interview, Part I, Section D on page 4-5. Discuss any problems you have noted and schedule or conduct any necessary training. Have the manager or PIC sign the first page of the form.
- 7) If training is provided, document it in Part I, Section E on page 5.
- 8) After you leave the store, complete Part II (After the On-Site Visit) on page 6.

Please complete ALL information on this form thoroughly and accurately - it will be used to update vendor records. Mail to: OCS/WIC, 130 Seward Street, Rm 508, Juneau, AK 99801

Vendor Monitoring Report Form

(PLEASE PRINT CLEARLY!)

Store Name: _____ Vendor No. _____ Date: _____

Address _____

Store Manager: _____ Phone No. _____

Fax No: _____ Email: _____

Name of Reviewer: _____ Title: _____

Signature of Store Manager or PIC: _____

PART I: ON-SITE MONITORING

Introduce yourself to store manager or person-in-charge (PIC). Explain that you are there to conduct WIC vendor monitoring. Ask for 1 or 2 redeemed WIC warrants that have not been deposited. Before you check the store's stock of WIC foods, ask one or two cashiers to complete a quiz. While they are taking the quiz, complete the Stock Checklist in Section B and check warrant prices, then complete Section A below.

A. Interview with Cashier(s) and Educational Buys:

1. Interview at least one cashier and/or conduct an educational buy to learn how WIC transactions are handled at the store. Ask cashier(s) to briefly go over how he/she handles a WIC transaction. Check steps completed during transaction:

<input type="checkbox"/> asks to see I.D. card	<input type="checkbox"/> compares amounts/brands to
<input type="checkbox"/> checks valid dates on warrant	<input type="checkbox"/> warrant and Food List
<input type="checkbox"/> separates WIC foods from	<input type="checkbox"/> writes total amount of sale
other purchases	<input type="checkbox"/> asks client to sign & date warrant
	after amount has been written

2. Was an educational buy conducted? ☐yes ☐no (If yes, please describe any errors or problems.)
3. Do cashiers get an opportunity to read the quarterly Vendor Newsletters? ☐ yes ☐ no
4. If cashier(s) have completed quizzes, review the results and answer any questions; (if store is busy, do not interfere with customer flow).

B. Check the store's stock of WIC foods using the checklist below. Indicate quantity of each item on the shelves and use a ✓ to indicate expired, damaged or spoiled items. (Compare shelf prices to warrants.)

Food Item	Type of Inventory	Quantities required to stock	Quantity on Shelf	✓ any expired, spoiled or damaged items
MILK (Fresh) ___check if exempt	<u>Fluid Milk (Whole, Skim, Low Fat, 2%):</u> Gallon, half gallon or quart containers. NOTE: Rural vendors may request exemption from requirement to stock fresh milk. If approved by local WIC agency, vendor must stock UHT, evaporated and powdered milk instead.	Total of 12 gallons (May be 24 half gallons, 48 quarts, or any combination totaling 12 gallons)		
MILK (UHT, Evaporated or Powdered)	<u>UHT (shelf stable) milk:</u> quart packages only <u>Dry (powdered) nonfat milk:</u> packages of 4, 8 or 12 quarts <u>Evaporated milk:</u> 12 oz cans	Total of 24 quarts, and Total of 12 quarts when reconstituted Total of 24 - 12 oz cans (16 cans evap = 3 gallons milk when reconstituted)		
CHEESE	Two varieties from the WIC Food List: No packages smaller than 8 ounces	Total of 4 pounds		
CEREAL	Four varieties (four cold, one hot) from the WIC Food List: Minimum box size 8 ounces	Total of 6 boxes		
EGGS	Small, medium, large or extra large. White only.	Total of 4 dozen		
JUICES	Three varieties from the WIC Food List: frozen, concentrate, shelf-stable concentrate or canned	Total of 12 - 11.5 or 12 oz frozen or pourable conc. or 46 oz cans/plastic		
CARROTS	Fresh, frozen (plain), or canned (plain)	2 - 2 lb. bags fresh, or 4 - 1 lb. bags frozen, or 4 - 14.5 oz cans		
SALMON & TUNA	Pink, canned Plain, packed in oil or water	4-14.75 oz cans 8- 6.25 oz or 6oz cans		
DRIED BEANS, PEAS, LENTILS	At least one variety from the WIC Food List	2 - 1 pound bags		
PEANUT BUTTER	Any brand. Low sodium and low sugar allowed. NO organic; no added jelly, honey or marshmallow.	2 - 18 oz jars		
INFANT CEREAL ___check if exempt	Two cereal grains: 8oz or 16oz boxes (one must be rice) Gerber, Heinz and Beechnut brands only.	Total of 6 boxes		
INFANT FORMULA * ___check if exempt	WIC contract formula (milk base <u>and</u> soy base) in powder and concentrate form. * Vendors in small rural communities (pop. 1,000 or less,) are not required to stock infant formula or infant cereal unless notified by the local WIC agency that it is necessary in order to meet the needs of WIC participants in the community. Vendor must have items in stock within 5 business days of local WIC agency request. Pharmacies must maintain minimum formula stock only and must provide special formula(s) within 72 hours.	20 – Similac Advance w/iron powder, 12.9 oz * 31- Similac Advance w/iron concentrate, 13 fl. oz * 10 – Similac Sensitive powder, 12.9 oz can * 10 – Similac Isomil Advance powder, 12.9 oz* 16- Similac Isomil Advance concentrate, 13 fl. oz*		

C. Observations During Store Visit:

1. Are posters such as "We Accept WIC Warrants" displayed at the store to indicate it is a WIC vendor? ___ yes ___ no
2. Does the store stock a full line of grocery items, including meat, dairy, produce (fresh, frozen, canned) and dry goods? ___ yes ___ no
3. Does the store display WIC shelf tags to identify WIC-approved items? ___ yes ___ no
4. During the visit, did reviewer observe questionable treatment of a WIC participant or improper processing of a WIC warrant? ___yes ___no (If yes, please describe)
5. Is store clean and well-organized? ___ yes ___ no
6. Are items on shelves within manufacturer's "sell by" dates? ___ yes ___ no
7. Are perishable items stored under proper conditions and temperatures? ___ yes ___ no
8. Examine redeemed warrant(s); *(describe any errors or problems)*
 - have they been signed by the participant or alternate? ___ Yes ___ No
 - were they used during the valid dates? ___ Yes ___ No
 - was the total amount of sale changed or altered? ___ Yes ___ No
 - is the amount of sale on the warrant(s) less than or equal to the total you calculated based on shelf prices for listed items? ___ Yes ___ No *(Assume that all items listed on the warrant were purchased and use the highest priced choices in estimating the total cost.)*

D. Interview with Manager or Person in Charge:

Name _____ Title _____

1. Who has current ownership or corporate management of the store?
2. How long has current manager been working at the store?
3. What are some of the benefits of the WIC Program?
4. What is the store's approximate total dollar amount of annual food sales? \$ _____
Estimate the percentage of annual food sales the store receives from WIC? _____

Forms of payment accepted by store: cash check credit card debit card EBT other
5. List name(s) of the store's primary wholesaler(s) for WIC foods and infant formula; (examine store formula invoices for past six months to verify source(s):

6. The following questions are about how WIC warrant transactions are processed at this store.

___ Yes ___ No Are WIC warrants audited for errors?
By whom _____; How often _____

___ Yes ___ No Can warrants be traced to a cashier?
Who follows up on warrant errors _____

___ Yes ___ No During the past year has the store been requested to reimburse the state
for warrants redeemed improperly or outside valid dates?

If warrants are not processed properly, what steps are being taken to reduce warrant processing errors or reduce the amount of penalties due to warrants redeemed outside of valid dates?

7. How do store employees learn about the WIC Program and receive training in WIC procedures?

If store has a trainer, what is his/her name?

When was "in-house" cashier training last done?

8. Does the vendor provide cashiers with WIC information, (such as the Vendor Manual, vendor guide, list of WIC foods, newsletters and procedures for WIC warrant transactions)?

9. Circle the types of training media that store employees have access to:

VCR/video Computer (CD-rom, DVD, or on-line) Teleconference

10. Has the store had any problems with WIC customers or other aspects of the Program? If so, describe:

11. If problems were identified during the monitoring visit, what is the plan for correcting these problems?

12. Does vendor know how to use the WIC program Complaint Report form? ___yes ___no

13. Does he/she have any suggestions for improving the Program?

E. Training:

1. Was training conducted during the monitoring visit? ___yes ___no
a. If no, when can training be scheduled? _____ (*Federal regulations require WIC vendors to have interactive training covering required topics once every three years.*)
b. If yes, list topics covered and names of attendees; *attach a separate sheet, if needed.*

Topics: _____

Attendees: _____

PART II: AFTER THE ON-SITE VISIT**(Please provide details.)**

A. Describe general impressions about how well the store is meeting the needs of WIC participants in the area:

B. If store is in a rural area, approximately how many WIC participants are served by this store?

Is stock adequate for the average number of WIC participants?

C. If store does **not** carry a full line of grocery items, (including meat, dairy, produce (fresh, frozen, canned) and dry goods,) please indicate what kinds of grocery items are not stocked:

D. Describe any problem areas you noted during the visit:

E. Based on participant comments, complaints and/or your own observations, has the vendor:

YES	NO	Not Sure	
___	___	___	Provided cash or credit for food instruments?
___	___	___	Provided non-food items in exchange for WIC warrants?
___	___	___	Provided unauthorized food items in exchange for WIC warrants?
___	___	___	Charged WIC customers more for food than non-WIC customers?
___	___	___	Charged for food items not received?
___	___	___	Charged for food provided in excess of foods listed on warrants?
___	___	___	Redeemed warrants before or after the 30-day period specified?

F. Reviewer's recommendations: (Briefly describe reason(s) for recommending continued authorization or termination (non-reauthorization) of Vendor agreement.)

G. Signature of Reviewer _____ Date _____